

# REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee  
(Summary Page)

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FEDERAL ELECTION  
COMMISSION MAIL ROOM

1999 OCT 21 A 11:58

TYPE OR PRINT

1. NAME OF COMMITTEE (In full) National Association of Life Underwriters Political Action Committee		2. FEC IDENTIFICATION NUMBER C00005249
ADDRESS (number and street) <input type="checkbox"/> Check if different than previously reported 1922 F Street, NW		
CITY, STATE and ZIP CODE Washington, DC 20006		
		3. <input checked="" type="checkbox"/> This committee has qualified as a multicandidate committee. (see FEC FORM 1 M)

## 4. TYPE OF REPORT

☐ April 15 Quarterly Report

☐ July 15 Quarterly Report

☐ October 15 Quarterly Report

☒ January 31 Year End Report

☐ July 31 Mid-Year Report (Non-election Year Only)

☐ Termination Report

Monthly Report Due On:

<input type="checkbox"/> February 20	<input type="checkbox"/> June 20	<input type="checkbox"/> October 20
<input type="checkbox"/> March 20	<input type="checkbox"/> July 20	<input type="checkbox"/> November 20
<input type="checkbox"/> April 20	<input type="checkbox"/> August 20	<input type="checkbox"/> December 20
<input type="checkbox"/> May 20	<input type="checkbox"/> September 20	<input type="checkbox"/> January 31

☐ 12-Day Pre-Election Report for the \_\_\_\_\_  
(Type of Election)

election on \_\_\_\_\_ in the State of \_\_\_\_\_

☐ 30-Day Post-Election Report following the General Election

on \_\_\_\_\_ in the State of \_\_\_\_\_

Is this Report an Amendment?

☒ YES

☐ NO

SUMMARY	COLUMN A This Period	COLUMN B Calendar Year-to-Date
5. Covering Period Jan 1, 1997 through Dec 31, 1997		
6. <input type="checkbox"/> Cash on Hand January 1, 1997		\$ 582,332.88
<input type="checkbox"/> Cash on Hand at Beginning of Reporting Period January 1, 1997	\$ 582,332.88	
<input type="checkbox"/> Total Receipts (from Line 19)	\$ 996,459.92	\$ 996,459.92
<input type="checkbox"/> Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)	\$ 1,578,792.80	\$ 1,578,792.80
7. Total Disbursements (from Line 30)	\$ 768,261.93	\$ 768,261.93
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	\$ 810,530.87	\$ 810,530.87
9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)	\$ 0	
10. Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)	\$ 0	

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer

Kevin M. Madden, CPA

Signature of Treasurer

*Kevin M. Madden, CPA*

Date

10/14/99

NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C. §437g.

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FEC FORM 3X

(revised 8/93)

# **DETAILED SUMMARY PAGE OF RECEIPTS AND DISBURSEMENTS**

PAGE 2, FEC FORM 3X

(revised 1/1/91)

NAME OF COMMITTEE National Association of Life Underwriters Political Action Committee		REPORT COVERING PERIOD FROM 1/1/97 TO 12/31/97	
		COLUMN A Total This Period	COLUMN B Calendar Year
<b>I. Receipts</b>			
11. Contributions (other than loans) From:			
a. Individual/Persons Other Than Political Committees			
i. Itemized (use Schedule A) _____		155,650.11	155,650.11
ii. Unitemized _____		811,180.72	811,180.72
iii. Total _____ (add i and ii) >		966,830.83	966,830.83
b. Political Party Committees _____			
c. Other Political Committees (such as PACs) _____			
d. Total Contributions _____ (add a ii, b and c) >		966,830.83	966,830.83
12. Transfers From Affiliated/Other Party Committees _____			
13. All Loans Received _____			
14. Loan Repayments Received _____			
15. Offsets To Operating Expenditures (Refunds, Rebates, etc.) _____		1,000.00	1,000.00
16. Refunds of Contributions Made to Federal Candidates and Other Political Committees _____		28,629.09	28,629.09
17. Other Federal Receipts (Dividends, Interest, etc.) _____			
18. Transfers from Nonfederal Account for Joint Activity _____		996,459.92	996,459.92
19. Total Receipts _____ (add 11 d, 12, 13, 14, 15, 16, 17, and 18) >		996,459.92	996,459.92
20. Total Federal Receipts _____ (subtract line 18 from line 19) >			
<b>II. Disbursements</b>			
21. Operating Expenditures:			
a. Shared Federal Non-Federal Activity (from Schedule 1-14)			
i. Federal Share _____			
ii. Non-Federal Share _____		350,936.93	350,936.93
b. Other Federal Operating Expenditures _____		350,936.93	350,936.93
c. Total Operating Expenditures _____ (add a i, a ii, and b) >			
22. Transfers to Affiliated/Other Party Committees _____		417,000.00	417,000.00
23. Contributions to Federal Candidates/Committees and Other Political Committees _____			
24. Independent Expenditures (use Schedule E) _____			
25. Coordinated Expenditures Made by Party Committees (2 U.S.C. 441a(d)) (use Schedule F) _____			
26. Loan Repayments Made _____			
27. Loans Made _____			
28. Refunds of Contributions To:			
a. Individual/Persons Other Than Political Committees _____		325.00	325.00
b. Political Party Committees _____			
c. Other Political Committees (such as PACs) _____		325.00	325.00
d. Total Contribution Refunds _____ (add a, b and c) >			
29. Other Disbursements _____		768,261.93	768,261.93
30. Total Disbursements _____ (add 21 c, 22, 23, 24, 25, 26, 27, 28 d, and 29) >		768,261.93	768,261.93
31. Total Federal Disbursements _____ (subtract line 21 a ii from line 30) >			
<b>III. Net Contributions/Operating Expenditures</b>			
32. Total Contributions (other than loans) (from line 11 d) _____		966,830.83	966,830.83
33. Total Contribution Refunds (from line 28 d) _____		325.00	325.00
34. Net Contributions (other than loans) (subtract line 33 from 32) _____		966,505.83	966,505.83
35. Total Federal Operating Expenditures _____ (add 21 a i and 21 b) >		350,936.93	350,936.93
36. Offsets to Operating Expenditures (from line 15) _____		0	0
37. Net Operating Expenditures _____ (subtract line 36 from 35) >		350,936.93	350,936.93



FEDERAL ELECTION COMMISSION  
WASHINGTON, D.C. 20463

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COMMISSION MAIL ROOM

RQ-2

1999 OCT 21 A 11:58

Paul M. Smith, Sr., CLU, Treasurer  
National Association of Life Underwriters  
Political Action Committee  
1922 F Street, NW  
Washington, DC 20006

SEP 29 1999

Identification Number: C00005249

Reference: Amended Year End Report (12/1/97-12/31/97, dated 6/14/99)

Dear Mr. Smith:

This letter is prompted by the Commission's preliminary review of the report(s) referenced above. The review raised questions concerning certain information contained in the report(s). An itemization follows:

-Line 6(a) of the Summary Page represents the total cash-on-hand as of January 1, 1997. The figure disclosed on this report differs from the January 1, 1997 totals disclosed on all other reports filed during the calendar year. In contrast, the figure disclosed on Line 6(a) of this report corresponds with the ending balance disclosed on your committee's Amended 1996 Year End Report (dated April 20, 1999). In addition, there is a discrepancy between the beginning cash of the Amended 1997 Year End Report and the ending cash balance of your Amended 1997 December Monthly Report (dated July 9, 1999). It appears that your committee has filed an amended Year End Report which discloses previously undisclosed financial activity, however no amendment has been made to the cash-on-hand figures of subsequent reports. The Commission recommends that you correct the apparent discrepancies between your cash-on-hand figures by submitting a comprehensive amendment covering the period January 1, 1997 through December 31, 1997. The comprehensive amendment should include the Summary and Detailed Summary Pages. Please provide an amendment(s) to correct these apparent discrepancies.

A written response or an amendment to your original report(s) correcting the above problem(s) should be filed with the Federal Election Commission within fifteen (15) days of the date of this letter. If you need assistance, please feel free to contact me on our

toll-free number, (800) 424-9530. My local number is (202) 694-1130.

Sincerely,

A handwritten signature in black ink, appearing to read 'D. L. Averett', with a long horizontal flourish extending to the right.

Donald L. Averett  
Reports Analyst  
Reports Analysis Division

## Federal Election Commission

**ENVELOPE REPLACEMENT PAGE  
FOR INCOMING DOCUMENTS**

The Commission has added this page to the end of this filing to indicate how it was received.

<input type="checkbox"/> Hand Delivered	Date of Receipt
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<input type="checkbox"/> Postmark Illegible	
<input type="checkbox"/> Received from the House office of Records and Registration	Date of Receipt
<input type="checkbox"/> Received from the Senate Office of Public Records	Date of Receipt
<input type="checkbox"/> Other ( Specify):	Postmarked and/or Date of Receipt
<input type="checkbox"/> Electronic Filing	
<i>See</i> PREPARER	10-21-99 DATE PREPARED